



Docket No.: 042390.P8104

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

**Carl M. Ellison, et al.**

Application No.: 09/540,946

Filed: March 31, 2000

For: Protecting Software Environment in  
Isolated Execution

Examiner: [To Be Assigned]

Art Group: 2766

Assistant Commissioner for Patents  
Washington, D.C. 20231

RECEIVED  
DEC 29 2000  
TC 2100 MAILROOM

**CROSS-REFERENCE UNDER 37 C.F.R. §1.78(a)(2) TO RELATED APPLICATIONS**

Sir/Madam:

Pursuant to 37 C.F.R. §1.78(a)(2), applicants hereby cross-reference the following related patent applications, which are all assigned to the same assignee as the present patent application.

- (1) A U.S. Patent Application entitled Platform and Method For Issuing and Certifying a Hardware-Protected Attestation Key by Carl M. Ellison, et al., Application No. 09/538,951, filed March 31, 2000.
- (2) A U.S. Patent Application entitled Generating Isolated Bus Cycles for Isolated Execution by Carl M. Ellison, et al., Application No. 09/538,954, filed March 31, 2000.
- (3) A U.S. Patent Application entitled Managing a Secure Platform Using a Hierarchical Executive Architecture in Isolated Execution Mode by Carl M. Ellison, et al., Application No. 09/539,344, filed March 31, 2000.

- (4) A U.S. Patent Application entitled Controlling Accesses to Isolated Memory Using a Memory Controller for Isolated Execution by Carl M. Ellison, et al., Application No. 09/540,608, filed March 31, 2000.
- (5) A U.S. Patent Application entitled Managing Accesses in a Processor for Isolated Execution by Carl M. Ellison, et al., Application No. 09/540,611, filed March 31, 2000.
- (6) A U.S. Patent Application entitled Platform and Method for Generating and Utilizing a Protected Audit Log by Howard C. Herbert, et al., Application No. 09/540,612, filed March 31, 2000.
- (7) A U.S. Patent Application entitled Managing a Secure Environment Using a Chipset in Isolated Execution Mode by Carl M. Ellison, et al., Application No. 09/540,613, filed March 31, 2000.
- (8) A U.S. Patent Application entitled Platform and Method for Remote Attestation of a Platform by Howard C. Herbert, et al., Application No. 09/541,108, filed March 31, 2000.
- (9) A U.S. Patent Application entitled Isolated Instructions for Isolated Execution by Carl M. Ellison, et al., Application No. 09/541,477, filed March 31, 2000.
- (10) A U.S. Patent Application entitled Attestation Key Memory Device and Bus by Carl M. Ellison, et al., Application No. 09/541,667, filed March 31, 2000.
- (11) A U.S. Patent Application entitled Controlling Access to Multiple Memory Zones in an Isolated Execution Environment by Carl M. Ellison, et al., Application No. 09/618,489, filed July 18, 2000 (based on earlier U.S. Provisional Application No. 60/198,225).
- (12) A U.S. Patent Application entitled Resetting a Processor in an Isolated Execution Environment by Carl M. Ellison, et al., Application No. 09/618,659, filed July 18, 2000 (based on earlier U.S. Provisional Application No. 60/198,266).

(13) A U.S. Patent Application entitled Controlling Access to Multiple Isolated Memories in an Isolated Execution Environment by Carl M. Ellison, et al., Application No. 09/618,738, filed July 18, 2000 (based on earlier U.S. Provisional Application No. 60/198,227).

If there are any charges, please charge Deposit Account No. 02-2666.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP



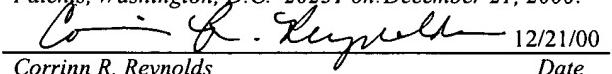
WILLIAM W. SCHAALE  
Reg. No. 39,018

Dated: December 21, 2000

12400 Wilshire Boulevard, Seventh Floor  
Los Angeles, California 90025  
(714) 557-3800

**CERTIFICATE OF MAILING**

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on December 21, 2000.



Corrinn R. Reynolds 12/21/00  
Date



GAV 2766  
2131  
45/101

PTO/SB/21 (12/97)

Approved for use through 9/30/2000. OMB 0651-0031  
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

## TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

6

Application No. 09/540,946

Filing Date March 31, 2000

First Named Inventor Carl M. Ellison

Group Art Unit 2766

Examiner Name

Attorney Docket Number 42390P8104

### ENCLOSURES (check all that apply)

- Fee Transmittal Form
- Fee Attached
- Amendment / Response
  - After Final
  - Affidavits/declaration(s)
- Extension of Time Request
- Express Abandonment Request
- Information Disclosure Statement
- Certified Copy of Priority Document(s)
- Response to Missing Parts/ Incomplete Application
- Response to Missing Parts under 37 CFR 1.52 or 1.53

- Assignment Papers (for an Application)
- Drawing(s)
- Licensing-related Papers
- Petition Routing Slip (PTO/SB/69) and Accompanying Petition
- To Convert a Provisional Application
- Power of Attorney, Revocation Change of Correspondence Address
- Terminal Disclaimer
- Small Entity Statement
- Request for Refund

- After Allowance Communication to Group
- Appeal Communication to Board of Appeals and Interferences
- Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
- Proprietary Information
- Status Letter
- Additional Enclosure(s) (please identify below):

Cross-Reference Under 37 C.F.R. §1.78(a)(2) to Related Applications

Remarks

### SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm or Individual name William W. Schaal, Reg. No. 39,018

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

Signature

Date

December 21, 2000

### CERTIFICATE OF MAILING/TRANSMISSION

I hereby certify that this correspondence is being deposited with the United States Postal Service as First Class mail with sufficient postage in an envelope addressed to: Assistant Commissioner for Patents, Washington, D.C. 20231 on:

December 21, 2000

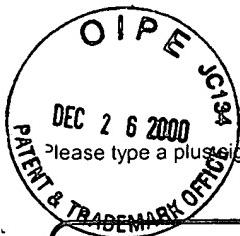
Typed or printed name Corrinn R. Reynolds

Signature

Date

December 21, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.



DEC 26 2000

Please type a plus sign (+) inside this box



PTO/SB/17 (12/99)

Approved for use through 09/30/2000. OMB 0651-0032  
 Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

## Complete if Known

Application No.	09/540,946
Filing Date	March 31, 2000
First Named Inventor	Carl M. Ellison
Examiner Name	
Group/Art Unit	2766
Attorney Docket Number	42390P8104

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number **02-2666**  
 Deposit Account Name **Blakely, Sokoloff, Taylor & Zafman LLP**

Charge Any Additional Fee(s) Required  
 Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

Applicant claims small entity status.  
 See 37 CFR 1.27.

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	
<b>SUBTOTAL (1)</b>					<b>(\\$)</b>

2. EXTRA CLAIM FEES	Extra Claims	Fee from below	Fee Paid
Total Claims	<input type="text"/>	<input type="text"/>	<input type="text"/>
Independent Claims	<input type="text"/>	<input type="text"/>	<input type="text"/>
Multiple Dependent	<input type="text"/>	<input type="text"/>	<input type="text"/>

\*or number previously paid, if greater. For Reissues, see below

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	260	204	135	Multiple Dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent
<b>SUBTOTAL (2)</b>				

## 3. ADDITIONAL FEE

Large Entity	Small Entity	Fee Code	Fee (\$)	Fee Description	Fee Paid
105	130	205	65	Surcharge - late filing fee or oath	
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
139	130	139	130	Non-English specification	
147	2,520	147	2,520	For filing a request for reexamination	
112	920*	112	920*	Requesting publication of SIR prior to Examiner action	
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action	
115	110	215	55	Extension for response within first month	
116	390	216	195	Extension for response within second month	
117	890	217	445	Extension for response within third month	
118	1,390	218	695	Extension for response within fourth month	
128	1,890	228	945	Extension for response within fifth month	
119	310	219	155	Notice of Appeal	
120	310	220	155	Filing a brief in support of an appeal	
121	270	221	135	Request for oral hearing	
138	1,510	138	1,510	Petition to institute a public use proceeding	
140	110	240	55	Petition to revive - unavoidable	
141	1,240	241	620	Petition to revive - unintentional	
142	1,240	242	620	Utility issue fee (or reissue)	
143	440	243	220	Design issue fee	
144	600	244	300	Plant issue fee	
122	130	122	130	Petitions to the Commissioner	
123	50	123	50	Petitions related to provisional applications	
126	180	126	180	Submission of Information Disclosure Stmt	
581	40	581	40	Recording each patent assignment per property (times number of properties)	
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))	
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))	
179	710	279	355	Request for Continued Examination (RCE)	
169	900	169	900	Request for expedited examination of a design application	
Other fee (specify)					
Other fee (specify)					
* Reduced by Basic Filing Fee Paid					<b>SUBTOTAL (3)</b>

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	William W. Schaal	Registration No. (Attorney/Agent)	39,018	Telephone	(714) 557-3800
Signature				Date	12/21/00

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED

RECEIVED  
DEC 21 2000  
MAILED ROOM



DEC 26 2000

Please type or plus sign (+) inside this box

PTO/SB/17 (12/99)

Approved for use through 09/30/2000. OMB 0651-0032

Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it displays a valid OMB control number.

# FEE TRANSMITTAL for FY 2000

Patent fees are subject to annual revision.

TOTAL AMOUNT OF PAYMENT (\$)

## Complete if Known

Application No.	09/540,946
Filing Date	March 31, 2000
First Named Inventor	Carl M. Ellison
Examiner Name	
Group/Art Unit	2766
Attorney Docket Number	42390P8104

## METHOD OF PAYMENT (check one)

1.  The Commissioner is hereby authorized to charge indicated fees and credit any overpayments to:

Deposit Account Number 02-2666

Deposit Account Name Blakely, Sokoloff, Taylor & Zafman LLP

Charge Any Additional Fee(s) Required  
Under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20.

Applicant claims small entity status.  
See 37 CFR 1.27.

2.  Payment Enclosed:

Check  Credit card  Money Order  Other

## FEE CALCULATION

## 1. BASIC FILING FEE

## Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description	Fee Paid
101	710	201	355	Utility filing fee	
106	320	206	160	Design filing fee	
107	490	207	245	Plant filing fee	
108	710	208	355	Reissue filing fee	
114	150	214	75	Provisional filing fee	

SUBTOTAL (1) (\$)

## 2. EXTRA CLAIM FEES

Total Claims	-	Independent Claims	=	Extra Claims	X	Fee from below	=	Fee Paid
<span style="border: 1px solid black; padding: 2px;"></span>	-	<span style="border: 1px solid black; padding: 2px;"></span>	=	<span style="border: 1px solid black; padding: 2px;"></span>	X	<span style="border: 1px solid black; padding: 2px;"></span>	=	<span style="border: 1px solid black; padding: 2px;"></span>
Multiple Dependent				<span style="border: 1px solid black; padding: 2px;"></span>	X	<span style="border: 1px solid black; padding: 2px;"></span>	=	<span style="border: 1px solid black; padding: 2px;"></span>

\*\*or number previously paid, if greater. For Reissues, see below

## Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
103	18	203	9	Claims in excess of 20
102	80	202	40	Independent claims in excess of 3
104	260	204	135	Multiple Dependent claim, if not paid
109	80	209	40	**Reissue independent claims over original patent
110	18	210	9	**Reissue claims in excess of 20 and over original patent

SUBTOTAL (2) (\$)

## 3. ADDITIONAL FEE

## Large Entity Small Entity

Fee Code	Fee (\$)	Fee Code	Fee (\$)	Fee Description
105	130	205	65	Surcharge - late filing fee or oath
127	50	227	25	Surcharge - late provisional filing fee or cover sheet.
139	130	139	130	Non-English specification
147	2,520	147	2,520	For filing a request for reexamination
112	920*	112	920*	Requesting publication of SIR prior to Examiner action
113	1,840*	113	1,840*	Requesting publication of SIR after Examiner action
115	110	215	55	Extension for response within first month
116	390	216	195	Extension for response within second month
117	890	217	445	Extension for response within third month
118	1,390	218	695	Extension for response within fourth month
128	1,890	228	945	Extension for response within fifth month
119	310	219	155	Notice of Appeal
120	310	220	155	Filing a brief in support of an appeal
121	270	221	135	Request for oral hearing
138	1,510	138	1,510	Petition to institute a public use proceeding
140	110	240	55	Petition to revive - unavoidable
141	1,240	241	620	Petition to revive - unintentional
142	1,240	242	620	Utility issue fee (or reissue)
143	440	243	220	Design issue fee
144	600	244	300	Plant issue fee
122	130	122	130	Petitions to the Commissioner
123	50	123	50	Petitions related to provisional applications
126	180	126	180	Submission of Information Disclosure Stmt
581	40	581	40	Recording each patent assignment per property (times number of properties)
146	710	246	355	Filing a submission after final rejection (37 CFR 1.129(a))
149	710	249	355	For each additional invention to be examined (37 CFR 1.129(b))
179	710	279	355	Request for Continued Examination (RCE)
169	900	169	900	Request for expedited examination of a design application
Other fee (specify) _____				
Other fee (specify) _____				

\*Reduced by Basic Filing Fee Paid

SUBTOTAL (3) (\$)

## SUBMITTED BY

Complete (if applicable)

Name (Print/Type)	William W. Schaal	Registration No. (Attorney/Agent)	39,018	Telephone	(714) 557-3800
Signature				Date	12/21/00

**WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2039.**

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED

RECEIVED  
DEC 29 2000  
MAIL ROOM